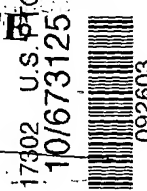


PENNIE &amp; EDMONDS LLP DOCKET NO. 6925-312-999

Express Mail No. EV335857018US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Prior application:

Examiner Subramanian, NarayanswamiArt Unit 3624

Commissioner for Patents  
P.O. Box 1450  
Mail Stop PATENT APPLICATION  
Alexandria, VA 22313-1450

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR § 1.53(b), of  
pending prior application no. 09/617,646 filed on July 17, 2000  
of Tull et. al.

(inventor(s) currently of record in prior application)

for DATA PROCESSING SYSTEM AND METHOD FOR ADMINISTERING FINANCIAL INSTRUMENTS  
(title of invention)

1. ☒ The filing fee is calculated below:

## PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	14	- 20	0	\$18.00 each	\$ 0.00
Independent	4	- 3	1	\$84.00 each	\$ 84.00
Minimum Fee					\$ 750.00
Multiple Dependency Fee If Applicable (\$280.00)					\$ 0.00
<b>Total</b>					\$ 834.00
Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					\$ 0.00
<b>Total Filing Fee</b>					\$ 834.00

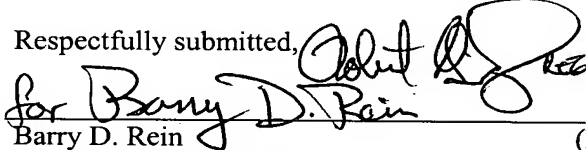
2. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.
3. ☒ Amend the specification by replacing the first paragraph starting on line 4 with the following:  
This is a continuation of application Ser. No. 09/617,646 filed on July 17, 2000, which is a continuation of application Ser. No. 09/313,155 filed on May 17, 1999, which is a continuation of application Ser. No. 09/071,437, filed on May 1, 1998, now U.S. Pat. No. 5,946,667, which is a continuation of application serial number 08/223,797, filed April 6, 1994, abandoned.
- 4a. ☒ New formal drawings are enclosed.
- 4b. ☐ Informal drawings are enclosed.

PENNIE & EDMONDS LLP DOCKET NO 6925-312-999

- 5a. ☒ Priority of application Ser. No. 09/617,646 filed July 17, 2000 in The United States is claimed under 35 U.S.C. §120.
- 5b. ☐ The certified copy has been filed in prior application no. , filed .
6. ☒ The prior application is assigned of record to Morgan Stanley Dean Witter.
- 7a. ☒ A copy of the Power of Attorney filed in the prior application no. 09/617,646, filed July 17, 2000 is enclosed.
- 7b. ☐ A Power of Attorney is enclosed.
8. ☐ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no., filed on be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. is enclosed.
9. ☐ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. is the same as the content of the computer readable form submitted in application no. .
10. ☐ DO NOT PUBLISH. I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
11. ☒ Additional enclosures or instruction: Photocopy of Petition Under 37 C.F.R. § 1.47(a) with attachments in the application Ser. No. 08/223,797 filed April 6, 1994.

Date September 26, 2003

Respectfully submitted,

  
for Barry D. Rein

PENNIE & EDMONDS LLP  
1155 Avenue of the Americas  
New York, New York 10036-2711

Reg. No. 45,755  
22,411  
(Reg. No.)

Please type a plus (+) inside this box

+

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	6925-312-999	Total Pages	55
	First Named Inventor or Application Identifier			
	Robert Stanley Tull, Jr.			
	Express Mail Label No.	EV335857018US		

<b>APPLICATION ELEMENTS</b> <i>See MPEP chapters 600 concerning utility patent application contents.</i>	<b>Commissioner for Patents</b> <b>P.O. Box 1450</b> <b>Mail Stop PATENT APPLICATION</b> <b>Alexandria, VA 22313-1450</b>
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1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
3. ☒ Specification [Total Pages 26 ]  
(preferred arrangement set forth below, MPEP 1503.01)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description of the Invention (including drawings, if filed)
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 7 ]
5. ☒ Oath or Declaration [Total Sheets 4 ]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or it's equivalent
17. ☒ Other: Photocopy of Petition Under 37 C.F.R. § 1.47(a) with attachments in the application Ser. No. 08/223,797 filed April 6, 1994.

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) | of prior application No.: 09/617,646 filed July 17, 2000.

Prior application information: Examiner: Subramanian, Narayanswamy Group Art Unit: 3624

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

#### 19. CORRESPONDENCE ADDRESS

☒ Customer Number

20583  
Insert Customer No.

or ☐ Correspondence address below

NAME					
ADDRESS					
CITY			STATE		
COUNTRY			TELEPHONE		
			FAX		